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NASA Procedural Requirements

NPR 3100.1
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COMPLIANCE IS MANDATORY

Management of The Senior Executive Service

Responsible Office: Office of Human Capital Management

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Change History

NPR 3100.1, Management of the Senior Executive Service

1	12/5/03	Per memo signed by the Associate Deputy Administrator for Institutions and Asset Management, James L. Jennings, dated 12/5/03, all NPGs current on 12/5/03 are now NASA Procedural Requirements (NPRs). NPR contents are mandatory/requirements.
2	03/29/04	Deletions made as a result of ADI/Jennings' memo dated 12/05/03. Administrative changes made throughout to correct responsible office codes, names, and to change NPG to NPR.

Effective Date: May 7, 1999

Preface

P.1. Purpose

This NPR delineates the lines of authority and responsibility for implementing NASA's Senior Executive Service (SES) management system and outlines the systems principles and procedures.

P.2. Applicability

This NPR applies to NASA Headquarters and NASA Centers, including Component Facilities. In consonance with the Inspector General Act of 1978, as amended (5 U.S.C. Appendix), and the Chief Financial Officers Act of 1990 (31 U.S.C. 901 et seq.), nothing herein shall be construed as limiting the Inspector General's or the Chief Financial Officer's authority regarding members of the SES or SES positions within those organizations.

P.3. Authority

P.3.1. 5 U.S.C. Chapters 31, 33, 35, 43, 45, 53, 57, and 75.

P.3.2. Inspector General Act of 1978, as amended (5 U.S.C. Appendix).

P.3.3. Chief Financial Officers Act of 1990 (31 U.S.C. 901 et seq.).

P.3.4. 22 Code of Federal Regulations (CFR) Part 317.

P.3.5. 22 CFR Part 412.

P.3.6. 22 CFR Part 430.

P.3.7. 22 CFR Part 451.

P.4. References

NPD 3000.1, "Management of Human Resources."

P.5. Cancellation

NPR 3100.3F, dated October 19, 1996.

/s/ Vicki A. Novak
Assistant Administrator for
Human Resources

Distribution:

NODIS

Chapter 1: SES Role and Objectives

1.1. Role of the NASA SES

The SES constitutes a senior management resource to be used by the Administrator to execute the mission of NASA. As such, the SES personnel system and authority to effect SES actions emanate from the Administrator. An overview of the management structure for executive resources in NASA is depicted in Appendix A.

1.2. Objectives of the SES Executive Resources System

- 1.2.1. To provide greater authority in managing executive resources.
- 1.2.2. To attract and retain highly competent executives, and to assign them where they will be most effective in accomplishing their mission and where best use will be made of their talents.
- 1.2.3. To provide for the systematic development of managers and executives.
- 1.2.4. To hold executives accountable for individual and organizational performance.
- 1.2.5. To reward the outstanding performers and remove the poor performers.
- 1.2.6. To provide for an executive merit system free of prohibited personnel practices and arbitrary actions.

1.3. Characteristics of an SES Position

- 1.3.1. SES executives serve under the President's top appointed officials, such as heads of departments and agencies and are above GS/GM-15 positions.
- 1.3.2. An SES member --
 - 1.3.2.1. Directs the work of an organizational unit;
 - 1.3.2.2. Is held accountable for the success of one or more specific programs or projects;
 - 1.3.2.3. Monitors progress toward organizational goals and work of employees other than personal assistants; or
 - 1.3.2.4. Exercises important policy-making, policy-determining, or other executive functions.

Chapter 2: Management Structure

- 2.1. The Administrator is directly and personally responsible for the overall management of the SES at NASA.
- 2.2. The Executive Resources Board (ERB) is a board required by law to conduct the SES merit staffing process. The ERB also functions as an advisor to the Administrator in executive personnel planning, utilization of executive resources, and executive development. Members and the Chairperson are appointed by the Administrator.
- 2.3. The Performance Review Board (PRB) is a board required by law to make recommendations to the Administrator on the performance of NASA executives. Members and the Chairperson are appointed by the Administrator. As a minimum, more than one-half of the members must be SES career appointees. The NASA Senior Executive Committee (SEC) serves as the performance review board for NASA Center Directors, executives reporting to the Administrator and Deputy Administrator, and members of the PRB. Members are the Chairperson of the ERB, the Chairperson of the PRB and one other member appointed by the Administrator.
- 2.4. The Assistant Administrator for Human Resources assists the Administrator in the overall management of the SES, chairs the Executive Resources Board (ERB), directs activities that provide policy advice and management support to the Administrator, and oversees and coordinates SES systems dealing with recruitment, appointment, position allocation and management, executive development, performance appraisal, and compensation.
- 2.5. Institutional Program Officers (IPO's) are Enterprise Associate Administrators with the dominant activity at a NASA Center, and they exercise oversight of the executive resources system within their Headquarters organization and the Centers where their activity is dominant.
- 2.6. Executive Position Managers (EPM's) are Officials-in-Charge of Headquarters Offices (OIC's) and Center Directors, and they manage the NASA executive resources system within their NASA organizational jurisdictions. The EPM's implement SES management policy and processes in their organizations, including the following: SES performance appraisals, SES recertification, Presidential Rank and bonus nominations, incentive awards, compensation, executive resources and development planning, and identification of potential successor candidates.
- 2.7. The Director, NASA Personnel Division, is a member of the PRB, serves as the Executive Secretary to the ERB and SEC, and provides direct staff support to the ERB, PRB, and the SEC.
- 2.8. The reporting relationships of the Administrator, the SEC, the PRB, the ERB, and the EPM's are shown in Appendix A.

Chapter 3: Management Authority

3.1. The Administrator retains all SES authority not specifically delegated, including (but not limited to) the following:

3.1.1. Approval of new appointments to the SES.

3.1.2. Approval of all Presidential Distinguished and Meritorious Rank Award nominations and Incentive Awards.

3.1.3. Approval of Performance Awards (bonuses).

3.1.4. Reserved.

3.1.5 Appointments to the ERB, the PRB, and the members of the SEC.

3.1.6. Creation of new SES positions.

3.1.7. Assignment of SES personnel to newly created positions.

3.1.8. Personnel actions affecting EPM's and their full deputies.

3.1.9. Reserved.

3.1.10. Reserved.

3.1.11. Approval of administrative decreases in pay.

3.1.12. Approval of adverse action.

3.1.13. Reassignments between organizations headed by different EPM's.

3.1.14. Reassignments involving a permanent change of station.

3.1.15. Details, Intergovernmental Personnel Act (IPA), or developmental assignments exceeding 120 days.

3.2. The Administrator delegates to the EPM's, without possibility of further delegation, authority to approve and carry out the following actions within their NASA organizational jurisdictions (exclusive of actions related to EPM's and their deputies), after 15 days advance notice to the Administrator.

3.2.1 Reassignments, title changes, and pay increases for Senior Executives in existing approved positions.

3.2.2. Advertisement of existing approved vacant SES positions.

3.3. Annually, the Administrator will determine a fixed number of 5 percent bonuses to be allocated to the IPO's, and to the technical and administrative Headquarters staff office groups, for award to SES members. IPO's will further allocate to their Center Directors an appropriate allocation for award to SES members at each Center.

Chapter 4: Policy Implementation

4.1. SES Recruiting and Selection

Initial appointments will be made on the basis of merit through a competitive selection process. Initial appointments will be normally made at the lowest SES pay level which provides a minimum increase of approximately 6 percent.

4.2. SES Performance Appraisal

NASA's Performance Management Plan for the SES is designed to enhance the achievement of Agency goals by encouraging managerial excellence in individual and organizational performance. It also facilitates a systematic eligibility for performance awards and retention in the SES. The PRB reviews documentation relating to initial ratings, any recommended alterations, and comments prior to recommending final performance ratings. The Administrator considers the recommendations of the PRB and SEC in determining final performance ratings.

4.3. Reserved.

4.4. SES Pay

SES pay levels can be adjusted up (promotion) or down (demotion) no more than once in a 12-month period. Promotions will be made based on demonstrated performance. A decrease must be based on reasons of poor performance or conduct and requires a 15-day written notice if based on performance or a 30-day written notice if based on conduct.

4.5. SES Presidential Rank Awards, Bonuses, and Incentive Awards (cash and time-off from duty)

SES members will be considered for all awards and bonuses for which they are eligible under Federal law and OPM guidelines, and consideration will be based on performance rather than position. The Administrator is the final approval authority for SES Presidential Ranks, bonuses, and cash incentive awards.

4.6. SES Executive Development

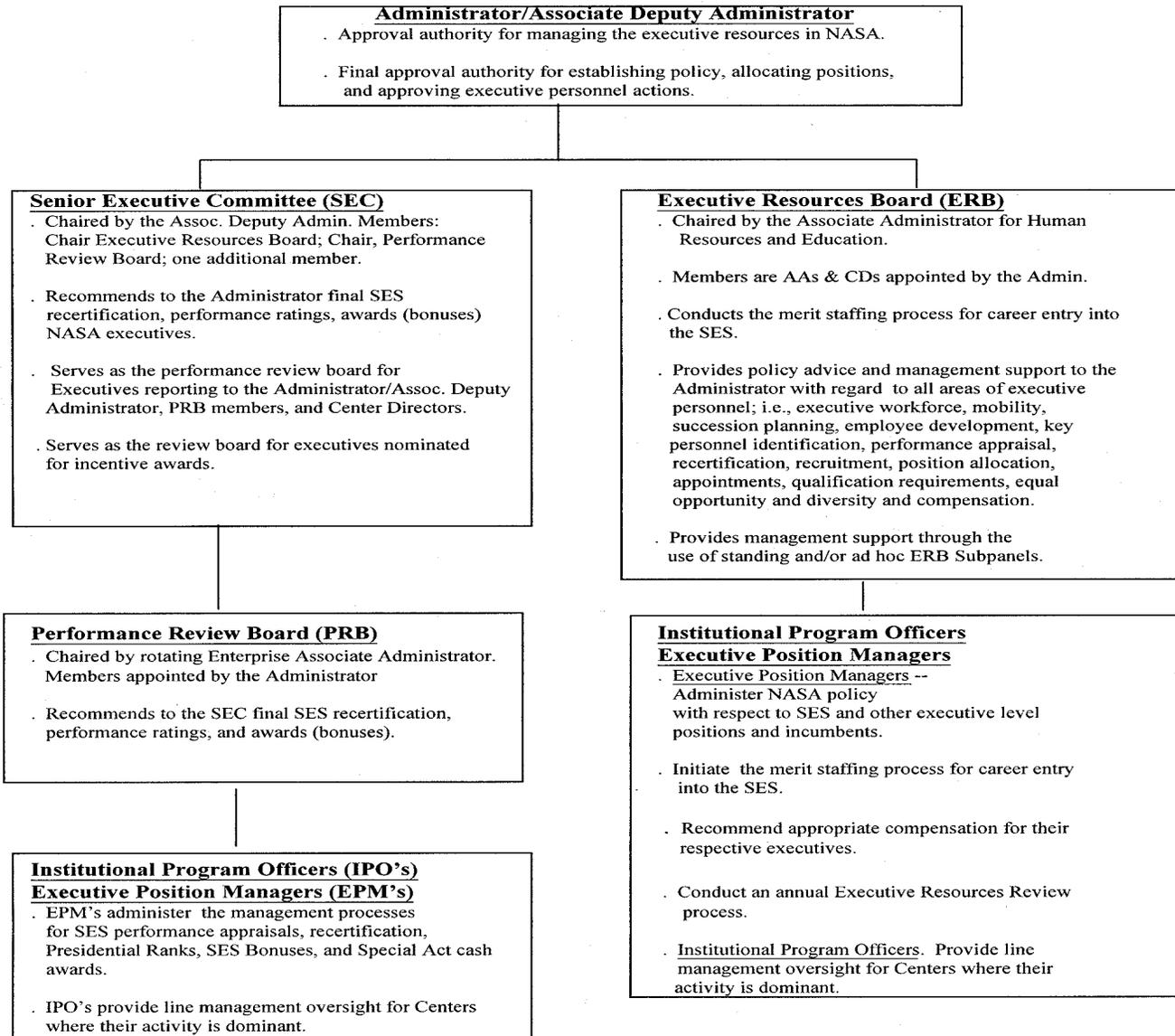
NASA will provide an effective program framework and the required resources for the systematic development and continuous professional growth of its senior executives. NASA and its executives share the responsibility for identifying individual development needs and obtaining the training, education, and development experiences to meet them. Pursuant to its responsibility, NASA provides residential in-house executive education, financial, and logistics support for academic executive education programs, and arrangements for developmental work assignments.

4.7. SES Ethical Standards

SES members will maintain and be held to the absolute highest level of ethics. Every member of the SES is entrusted with the senior management and execution of programs established by our national leadership. SES members must attend annual ethics briefings, supplemented with additional training as appropriate. SES members must complete a Public Financial Disclosure Report annually and when entering and leaving the SES.

Appendix A: NASA Executive Resources Management Structure

The structure and functional relationships established by NASA for managing the SES are charted below.



Appendix B: NASA Executive Personnel Action Delegations

Actions Requiring Approval of the Administrator

Action	Executive Position Managers	Institutional Program Officers	Associate Administrator for Human Resources and Education	Administrator
Establish New Position	Proposal	Concurrence	Recommendation	Approval ^{1/}
Reassignment - PCS ^{2/}	Proposal	Concurrence	Recommendation	Approval
Early Retirement	Proposal	Concurrence	Recommendation	Approval
Reassignment Between EPMS ^{2/}	Proposal	Concurrence	Recommendation	Approval
Reassignment to New Position ^{2/}	Proposal	Concurrence	Recommendation	Approval ^{1/}
Detail - More than 120 Days (Includes developmental/IPA) ^{2/}	Proposal	Concurrence	Recommendation	Approval
Pay Increase - Multiple ^{3/}	Proposal	Concurrence	Recommendation	Approval
Pay Decrease	Proposal	Concurrence	Recommendation	Approval
Full Dep to EPM Personnel Actions	Proposal	Concurrence	Recommendation	Approval
Adverse Actions	Proposal	Recommendation	Recommendation	Approval
Key Position Announcements ^{2/}	Proposal	Recommendation	Recommendation	Approval

Actions Delegated to the EPMS

Action	Executive Position Managers	Institutional Program Officers	Associate Administrator for Human Resources and Education	Administrator
Reassign in EPM/Existing Job	Approval	Advance Notice	Advance Notice	Advance Notice
Advertise Existing Position	Approval	Advance Notice	Advance Notice	Advance Notice
Pay Increase - One Level ^{3/} (thru ES-4)	Approval	Advance Notice	Advance Notice	Advance Notice
Detail - Less than 120 Days (Includes developmental/IPA) ^{2/}	Approval	Advance Notice	Advance Notice	Advance Notice
Title Change	Approval	Advance Notice	Advance Notice	Advance Notice
Time Off From Duty	Approval			

^{1/} Delegated to the Associate Administrator for Human Resources and Education.

^{2/} Announcements of selections may not be issued before receipt of Administrator's approval.

^{3/} Subject to the NASA pay schematic and policy, with 15 day advance notice to the Administrator.

Definitions:

Approval - Formal consent by signature

Proposal - Forward for consideration

Recommendation - Forward with analysis and advice as to approval/disapproval

Advance Notice - Period of 15 days during which the Administrator can revise/disapprove action

Concurrence - Agreement with proposed action; disagreement halts proposal

Appendix C: NASA Pay Schematic Guidelines

<u>Level</u>	<u>Centers</u>	<u>Headquarters</u>
A	Center Directors Deputy Center Directors	Associate Deputy Administrators Associate Administrators Chief Scientist/Engineer/Technologist General Counsel Comptroller Deputy Associate Administrators (Full) Deputy Chief Financial Officer Deputy General Counsel
B	First-level Directors of Managers of major technical project offices reporting to Center Directors	Associate General Counsels Deputy Associate Administrator for a portion of office function Directors of major first-level technical divisions and offices Directors of major functional offices with Agencywide responsibility
C	Major line functions reporting to Directors of Second-level Directors Chiefs of major technical divisions and offices Deputies to "Level B" Directors of Positions which exceed GS-15 but do not meet requirements for higher level. However, these positions should report, as a minimum, directly to "Level B" Directors of	Deputies to "Level B" Directors Positions that exceed GS-15, but do not meet requirements for higher level, i.e., heads of and technical offices and divisions not meet requirements for higher levels. However, they should report, as a minimum, directly to "Le